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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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10/782,731

02/18/2004

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60893 (70840)

3390

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EXAMINER

RICHARDS, N DREW

ART UNIT

PAPER NUMBER

2815

DATE MAILED: 06/02/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	Application No. 10/782,731	Applicant(s) NAKAI, JUNICHI	
	Examiner N. Drew Richards	Art Unit 2815	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 07 March 2005.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-18 is/are pending in the application.
- 4a) Of the above claim(s) 16-18 is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-15 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 18 February 2004 is/are: a) ☐ accepted or b) ☒ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☒ All    b) ☐ Some \*    c) ☐ None of:
1. ☒ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |                                                                                                                                              |                                                                                         |
|----------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)                                                                  | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftperson's Patent Drawing Review (PTO-948)                                                          | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date <u>2/18/04</u> . | 6) <input type="checkbox"/> Other: _____                                                |

## **DETAILED ACTION**

### ***Election/Restrictions***

1. Applicant's election without traverse of Group I in the reply filed on 3/7/05 is acknowledged. Claims 1-11 along with linking claims 12-15 are examined herein.

### ***Drawings***

2. Figures 4 and 5A-5E should be designated by a legend such as --Prior Art-- because only that which is old is illustrated. See MPEP § 608.02(g). Corrected drawings in compliance with 37 CFR 1.121(d) are required in reply to the Office action to avoid abandonment of the application. The replacement sheet(s) should be labeled "Replacement Sheet" in the page header (as per 37 CFR 1.84(c)) so as not to obstruct any portion of the drawing figures. If the changes are not accepted by the examiner, the applicant will be notified and informed of any required corrective action in the next Office action. The objection to the drawings will not be held in abeyance.

### ***Claim Objections***

3. Claim 3 is objected to because of the following informalities: claim 3 recites a concaved surface in the transparent film and a concaved portion cover the opening region. It appears that lines 3-4 should read "and the concaved surface covers the opening region" to claim applicant's invention commensurate with the invention as shown in the figures. For example, figure 2 shows the concave surface covering the opening 12x. Appropriate correction is required.

***Claim Rejections - 35 USC § 102***

4. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

5. Claims 1-6 and 8-15 are rejected under 35 U.S.C. 102(b) as being anticipated by JP 2000-164837.

In the following rejection, the examiner will at times rely upon a computer translation of JP 2000-164837. This translation was generated by the JPO website: <http://www19.ipdl.ncipi.go.jp/PA1/cgi-bin/PA1INIT?1100397386209>. This translation is used as evidence as to what is disclosed in the Japanese language document.

JP 2000-164837 discloses in figure 6 a semiconductor apparatus comprising:

- a light input/output portion 12 provided in an upper portion of a semiconductor substrate 11, the light input/output portion 12 having an opening region for light associated to the light input/output portion 12 to pass through (the opening is not labeled but is located between the inner edges of layer 5);
- a transparent film 17 covering the opening region; and
- an interlayer lens 19 provided on the transparent film 17, the interlayer lens 19 positioned such that an optical axis of the interlayer lens 19 is parallel to a central axis of the opening region (since lens 19 is shown centered on the opening and is evenly curved, it's optical axis will be parallel to the center axis of the opening).

With regard to claim 2, the light input/output portion 12 includes a light receiving portion for receiving light.

With regard to claim 3, the transparent film 17 is provided with step portions so as to have a concaved surface, and a concaved portion cover the opening region (transparent film 17 has step portions over layer 5 such that it has a concave portion covering the opening region).

With regard to claim 4, the optical axis of the interlayer lens 19 is aligned with the central axis of the opening region.

With regard to claim 5, a refractive index of the transparent film is lower than a refractive index of the interlayer lens.

With regard to claim 6, the transparent film includes a silicon oxide film including at least one of phosphorous and boron (disclosed as being BPSG).

With regard to claims 8 and 9, the limitations in these claims are product-by-process limitations. In these claims, the processes claimed do not result in any structural difference over the prior art and thus the structure claimed is anticipated.

With regard to claim 10, JP 2000-164837 further discloses a transfer channel 14 provided so as to have a predetermined space from the light input-output portion, an insulating film 2 provided on the substrate, the light input/output portion and the transfer channel, a transfer electrode 3 provided so as to oppose the transfer channel via the insulating film, and an insulating film 5 provided with an opening for exposing the

opening region of the light input/output portion and in which the step portions are produced by covering the transfer electrode.

With regard to claim 11, the optical axis of the interlayer lens is aligned with the central axis of the opening.

With regard to claim 12, JP 2000-164837 disclose in figure 6 a method comprising:

- forming a light input/output portion 12 provided in an upper portion of a semiconductor substrate 11, the light input/output portion 12 having an opening region for light associated to the light input/output portion 12 to pass through (the opening is not labeled but is located between the inner edges of layer 5);
- forming a transparent film 17 covering the opening region; and
- forming an interlayer lens 19 provided on the transparent film 17, the interlayer lens 19 positioned such that an optical axis of the interlayer lens 19 is parallel to a central axis of the opening region (since lens 19 is shown centered on the opening and is evenly curved, it's optical axis will be parallel to the center axis of the opening).

With regard to claim 13, forming the light input/output portion includes forming a light receiving portion for receiving light.

With regard to claim 14, JP 2000-164837 further disclose forming a light shield film 5 provided with an opening for exposing the opening region of the light input/output portion.

With regard to claim 15, the optical axis of the interlayer lens is formed aligned with the central axis of the opening.

***Claim Rejections - 35 USC § 103***

6. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

7. Claim 7 is rejected under 35 U.S.C. 103(a) as being unpatentable over JP 2000-164837 as applied to claims 1-6 and 8-15 above, and further in view of JP 4-111354.

JP 2000-164837 fails to teach the transparent film including an organic high polymer film.

JP 4-111354 teach the use of an organic high-polymer film in a solid-state image pickup device. It would have been obvious to one of ordinary skill in the art at the time of the invention to use the organic high-polymer film as the transparent film in order to take employ the film as a surface protective layer. Thus, it would have been obvious to combine these references to obtain the invention of claim 7.

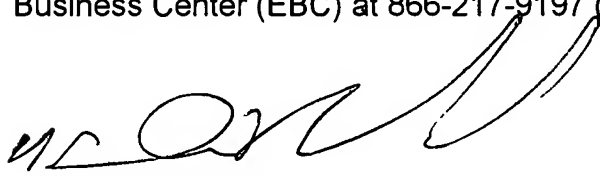
**Conclusion**

8. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. Sekine (U.S. Patent No. 6586811 B2), Shigeta et al. (U.S. Patent No. 5739548), Akio (U.S. Patent No. 5691548), Maegawa et al. (U.S. Patent No. 5371397).

Any inquiry concerning this communication or earlier communications from the examiner should be directed to N. Drew Richards whose telephone number is (571) 272-1736. The examiner can normally be reached on Monday-Friday 9:00-5:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Tom Thomas can be reached on (571) 272-1664. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).



N. Drew Richards  
AU 2815